

X12N Implementation Guide

HANDBOOK

**Policies, Procedures, and Conventions for
Development, Review, and Distribution**

X12N Implementation Guide Task Group

February 2002

The X12N Implementation Guide Task Group developed this uniform process for development, review, and distribution of insurance industry Implementation Guides within the X12N environment.

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1 Policies

1.1 About X12N Implementation Guides

An X12N Implementation Guide is a written set of instructions for implementing an X12 standard for a specific stated business purpose within the Insurance industry. These instructions promote consistent and uniform implementations between trading partners. An Implementation Guide can be based on any ASC X12 standard.

X12N Implementation Guides follow a process that consists of approval by majority rule at each of the following levels:

- Implementation Guide Development Group (IGDG)
- Work Group
- Task Group
- Subcommittee

Draft Implementation Guides are available for public review during the development process through online conferences and informational forums.

Implementation Guides are the property of the Insurance subcommittee, X12N. They do not go to PRB, X12J (TAS), or the full ASC X12 committee for approval. They do not carry the X12 logo.

Implementation Guides can be supported with two types of correction documents, addenda and errata. These documents become part of the published Implementation Guide. Addenda are supplements to published Implementation Guides that solve significant problems that prevent achievement of the Implementation Guide business purpose. Errata are supplements to published Implementation Guides that correct minor discrepancies that reduce clarity of presentation. Addenda development follows the standard Implementation Guide development process (see section 2.2) and Errata are developed using an abbreviated process (see section 2.3).

1.2 Implementation Guide Task Group

The Implementation Guide Task Group (X12N/TG4) may be comprised of up to three representatives from each business line task group. They:

- Provide review criteria for a quality assurance process for Implementation Guide development
- Provide education and guidance to the IGDG
- Approve registration for Implementation Guide Project Proposals (IGPPs)
- Ensure that due process has been followed throughout each step of the development processes
- Recommend publication to the X12N Subcommittee

1.3 Publisher

Washington Publishing Company (WPC) provides authors with administrative and editing support, data entry tools, and technical advice. WPC manages the manufacturing and distribution process and holds the copyright for the X12N Implementation Guides on behalf of the X12N Subcommittee.

1.4 Participants in Implementation Guide Development

- **Implementation Guide Development Group (IGDG) - These individuals author the** Implementation Guide. The IGDG is responsible for the business and technical accuracy of the Implementation Guide. The IGDG can be comprised of both X12N members and non-X12N members. Some members of the IGDG may have additional

roles in the Implementation Guide development process, e.g. Implementation Guide delegate.

- **Project Delegate**

The project delegate is responsible for shepherding the IGDG through the process. This person ensures that all steps are completed.

- **Alternate Project Delegate**

The alternate project delegate assists the delegate as necessary.

- **Sponsor**

The sponsor is a member of the Implementation Guide Task Group (X12N/TG4) and guides the delegate through the Implementation Guide development process. The sponsor reviews the Implementation Guide for readability and usability, and ensures that due process has been followed.

- **Owner**

The owner of the Implementation Guide is the task group (TG) or work group (WG) that is responsible for the transaction set or message that the Implementation Guide is based on. The TG or WG will determine if a business purpose is best supported within an existing Implementation Guide or with a new Implementation Guide.

- **Reviewers**

The reviewers of an Implementation Guide are the project delegate, alternate project delegate, sponsor, owner, X12N membership, and interested industry groups. Some industry groups that might participate in a review are HEDIC, NUCC, NUBC, IAIABC, IHOU, WEDI, and CIECA.

2 Procedures

2.1 Which Procedure to Use

This chapter contains three procedures related to the development of Implementation Guides. Please read the following carefully, to determine which of these procedures applies to your work.

Section 2.2 describes the procedure for creating new Implementation Guides. This procedure is used to develop the initial version of an Implementation Guide, subsequent versions of an existing Implementation Guide, and addenda for an existing Implementation Guide.

When a developing work group identifies a new business purpose for a transaction set(s), the work group develops the initial version of an Implementation Guide.

When an Implementation Guide no longer satisfies the business purpose to which it applies, the developing work group initiates a subsequent version of the Implementation Guide. The work group determines the appropriate X12 version of the transaction set(s) to use for each subsequent version of the Implementation Guide.

When implementation problems are discovered for an Implementation Guide, the developing work group may create addenda for the Implementation Guide. Addenda, by definition, contain significant changes that *change the transmitted transaction set defined by the Implementation Guide*. Both the sender and receiver must implement the addenda to conduct a successful interchange.

The addenda is a temporary solution to be implemented while a subsequent version of the Implementation Guide is being developed. The developing work group, with advice from publisher and X12N/TG4, determines if an addenda is appropriate or if it's best to move directly to a subsequent version of the Implementation Guide. Primary

consideration is the extent of change and the degree of difficulty that implementers will have using an annotated document rather than a “clean” copy.

Section 2.3 describes the procedure for developing errata for an existing Implementation Guide.

Errata, by definition, are minor changes that clarify or correct the Implementation Guide, but *do not change the transmitted transaction set defined by the Implementation Guide*. The sender and receiver do not both have to use the errata to conduct a successful interchange.

Section 2.4 describes the emergency change process.

An emergency change to an X12N Implementation Guide is defined to be:

- A significant change that can only be used with other trading partners who have also implemented the new version of the Implementation Guide and
- Required to meet a regulatory time constraint and
- A change that cannot be accomplished with the normal X12N implementation guide process.

2.2 New Implementation Guides and Addenda for Existing Implementation Guides

2.2.1 Initiate Implementation Guide Project

- Identify the need to develop an implementation guide for a new business purpose or revise an existing implementation guide.
- Form an Implementation Guide Development Group (IGDG) and appoint a Project Delegate.
- Complete the X12N Implementation Guide Project Proposal (IGPP) Form for the Implementation Guide. Instructions for finding and completing the form are included on page 23.

2.2.2 Obtain Work Group Approval for IGPP

- Present the IGPP to the owning Work Group and obtain their approval.

2.2.3 Obtain Task Group Approval for IGPP

- Present the IGPP to the owning Task Group and obtain their approval.

2.2.4 Present the IGPP to X12N/TG4

- Sign up for a meeting time with X12N/TG4 (**NOT ONE-ON-ONE MEETING**) to get the project proposal registered in the Implementation Guide registry. During X12 Trimester meetings, the sign-up sheet is posted on the X12N information board.
- Bring 5 copies of the IGPP to the meeting.
- Present the project proposal at the meeting. X12N/TG4 votes to register the Implementation Guide. WPC will assign a guide ID to uniquely identify the new or revised implementation guide *. X12N/TG4 will assign a sponsor to the Implementation Guide. The registry is located on the Washington Publishing Website at www.wpc-edi.com/x12nregistry

*- Implementation Guides are assigned a unique three-digit registration number of the form nnn. Addenda are assigned a unique suffix to the Implementation Guide registration number in the

format nnnAv, where nnn is the Implementation Guide registration number, A is a constant, and v is a version number beginning with 1.

2.2.5 Meet with the Publisher

- Sign up for a one-on-one meeting with WPC. The sign-up sheet for one-on-one meetings (**NOT X12N/TG4**) is posted on the X12N information board.
- WPC will supply data entry tools and other technical assistance for drafting the Implementation Guide.

2.2.6 Develop the Initial Draft of Implementation Guide

- Develop the initial draft of the Implementation Guide in accordance with the conventions of Chapter 3.

2.2.7 Obtain Work Group Approval of Initial Draft

- Present the initial draft of the Implementation Guide to the owning Work Group and obtain their approval.

2.2.8 Forward Initial Draft to Publisher

- Forward the initial draft of the Implementation Guide to WPC for processing into the "Rough Draft" and notify the Sponsor that this step has been taken. The "Rough Draft" version of the Implementation Guide is **NOT** intended for public review or comment.

2.2.9 Validate "Rough Draft"

- The Project Delegate, with support of the IGDG and Sponsor, reviews the "Rough Draft" version of the Implementation Guide, makes necessary changes or corrections, and submits them to WPC for processing into the "Preliminary Draft".

2.2.10 Refine "Preliminary Draft"

- The Project Delegate reviews the "Preliminary Draft" with the work group. The Project Delegate and work group update and refine the Implementation Guide, capturing subsequent versions as "Draft 1", "Draft 2", etc.

2.2.11 Obtain Work Group Approval for Last Draft

- When the work group is ready for public review of "Draft #", the work group votes to move the guide forward for public review.

2.2.12 Obtain Public Review and Comment

- The delegate creates a Public Review Announcement using the template on page 25 of this document as an example. The delegate is not required to use the exact wording or format of the template but must include all relevant information.
- The delegate submits the Public Review Announcement to a TG4 Sponsor. The Sponsor will review and respond within 5 days with any editorial comments or with approval to announce.
- Upon the TG4 Sponsor's approval, the delegate works with WPC to make the Implementation Guide available for public review and comment and distributes

the Public Review Announcement. WPC provides an optional on-line conferencing capability to facilitate public review and comment. The review period is between thirty (30) and ninety (90) days as determined by the developing X12N task group and/or work group.

- The project delegate must notify the following groups when the public review begins:
 - Industry groups
 - X12N List Serve
x12n@disa.org
 - X12N/TG3 - Transaction Coordination & Modeling
tg3@wpc-edi.com
 - X12N/TG4 - Implementation Guides
tg4@wpc-edi.com
 - X12N/TG8 – Architecture
tg8@wpc-edi.com

2.2.13 Respond to Comments

- The project delegate and the work group respond to each suggested change by either making the change or creating a formal statement explaining why the change will not be made. In either case, the project delegate must notify the commenter of the developers' response. The WPC on-line conferencing facility may be used to respond to the reviewer.

2.2.14 Obtain Work Group Approval for Informational Forum

- The project delegate obtains work group approval of the responses and approval to hold an informational forum. The purpose of the informational forum is to present the developers' response to public comments and allow a final opportunity for input on the decisions.

2.2.15 Update the Implementation Guide

- The delegate submits any needed Implementation Guide updates to WPC.

2.2.16 Prepare for the Informational Forum

- The project delegate schedules the informational forum. The informational forum is generally held at the next X12N meeting. The project delegate schedules the room through the developing task group co-chairs.
- The delegate creates an Informational Forum Announcement using the template on page 27 of this document as an example. The delegate is not required to use the exact wording or format of the template but must include all relevant information.
- The delegate submits the Informational Forum Announcement to a TG4 Sponsor. The Sponsor will review and respond within 5 days with any editorial comments or with approval to announce.
- Upon the TG4 Sponsor's approval, the delegate announces the Informational Forum. The announcement must be at least thirty (30) days in advance of the Informational Forum and must be made to the groups notified of the public comment period (see 2.2.12). The announcement should indicate how and

when copies of the developers' responses can be obtained. Responses should be available at least fifteen (15) days in advance of the forum.

2.2.17 Conduct the Informational Forum

- The project delegate gives a brief presentation on the Implementation Guide to include its business purpose and scope and a high-level data flow. The delegate then presents the work group responses to public review suggestions and entertains audience comment. Requests for significant changes, not previously presented for review, must be considered by the full work group. An X12N/TG4 representative must be present at the informational forum to ensure that due process is followed.

2.2.18 Make Final Changes

- The project delegate and work group make any final changes to the Implementation Guide or previous responses after considering comments from the informational forum. If these changes include significant modifications introduced during the informational forum, the work group must repeat steps 2.2.11 through 2.2.16. This insures that all significant changes benefit from the public review process.

2.2.19 Obtain Work Group Approval

- The project delegate presents the final draft of the Implementation Guide to the owning work group and obtains their approval.

2.2.20 Obtain Task Group Approval

- The project delegate schedules time on the owning task group's agenda and presents the final draft of the Implementation Guide to the task group to obtain their approval.

2.2.21 Review Due Process with X12N/TG4

- The project delegate schedules time with X12N/TG4 to present the final draft of the Implementation Guide and confirm that the X12N Implementation Guide Handbook procedures were followed during its development. If due process is confirmed and there are no outstanding issues, X12N/TG4 votes to recommend the Implementation Guide to X12N for publication.

2.2.22 Obtain X12N Approval to Publish

- The project delegate schedules time on the X12N agenda and presents the final draft of the Implementation Guide to X12N to obtain their approval to publish. The presentation should include an overhead of the cover page, a short description of the business purpose, and a statement that publication has been approved by work group and task group. The delegate should announce the X12N/TG4 recommendation and be prepared to respond to questions.

2.2.23 Notify Publisher

- The project delegate notifies WPC that the final Implementation Guide is approved for publication. WPC then moves the Implementation Guide to "pre-publication" status on the WPC web site and notifies the following groups that

the Implementation Guide is ready for final proofing. At least two weeks should be allowed for returning corrections.

- Project Delegate
- Developing Work Group
- X12N/TG3 - Transaction Coordination & Modeling
tg3@wpc-edi.com
- X12N/TG4 - Implementation Guides
tg4@wpc-edi.com
- X12N/TG8 – Architecture
tg8@wpc-edi.com

2.2.24 Validate Publication Draft

- The reviewing groups (see section 2.2.23) return any corrections to the Project Delegate and WPC.

2.2.25 Publication

- After final proof and approval of the project delegate, WPC marks the Implementation Guide as a "published" Implementation Guide of the X12N Subcommittee and removes the online conference from the web site.

2.3 Errata for Existing Implementation Guides

2.3.1 Initiate Errata Publication Project

- Identify the need to correct a published implementation guide. Verify that the correction(s) required meet the definition of errata.
- Form an Implementation Guide Development Group (IGDG) and appoint a Project Delegate.
- Complete the X12N Implementation Guide Project Proposal Form (IGPP). Instructions for finding and completing the form are included on page 23.

2.3.2 Obtain Work Group Approval for IGPP

- Present the EPP to the owning Work Group and obtain their approval.

2.3.3 Obtain Task Group Approval for IGPP

- Present the EPP to the owning Task Group and obtain their approval.

2.3.4 Present the IGPP to X12N/TG4

- Sign up for a meeting time with X12N/TG4 (**NOT ONE-ON-ONE MEETING**) to get the project proposal registered in the Implementation Guide registry. The sign-up sheet is posted on the X12N information board.
- Bring 5 copies of the IGPP to the meeting.
- Present the project proposal at the meeting. X12N/TG4 votes to register the Implementation Guide Errata. WPC will assign an ID to uniquely identify the supplement *. X12N/TG4 will assign a sponsor for the Errata. The registry is located on the Washington Publishing Website at www.wpc-edi.com/x12nregistry

*- Errata are assigned a unique suffix to the Implementation Guide registration number in the format nnnEv, where nnn is the Implementation Guide registration number, E is a constant, and v is a version number beginning with 1.

2.3.5 Meet with the Publisher

- Sign up for a one-on-one meeting with WPC to scope the project and establish communication. The sign-up sheet for one-on-one meetings (**NOT X12N/TG4**) is posted on the X12N information board.

2.3.6 Develop the Errata Draft

- Develop the Errata. The published errata document consists of annotated PDF pages. A sample is below:

```
Example 837 Data
ST*837*3456~
BHT*0019*00*0123*19971015*1023*CH~
REF*87*004010X098~
NM1*41*2*XYZ SERVICE*****46*A22222221~
PER*IC*Jane Doe*TE*8005551212~
NM1*40*2*ABC INSURANCE COMPANY*****46*05440~
HL*1*0*20*1~ HL*1**20*1~
NM1*85*2*ST HOLY HILLS
HOSPITAL*****24*581234567~
N3*2345 WINTER BLVD~
```

Figure 1 – Sample Errata Document

2.3.7 Obtain Work Group Approval of Errata

- Present the Errata to the owning Work Group and obtain their approval.

2.3.8 Confirm Changes are Errata

- The project delegate schedules time with X12N/TG4 to present the Errata and confirm that changes meet the definition of errata.

2.3.9 Forward Errata to Publisher

- Forward the Errata to WPC and notify the Sponsor that this step has been taken.

2.3.10 Obtain Task Group Approval

- The project delegate schedules time on the owning task group's agenda and presents the final draft of the Errata to the task group to obtain their approval.

2.3.11 Review Due Process with X12N/TG4

- The project delegate schedules time with X12N/TG4 to present the Errata and confirm that the X12N Implementation Guide Handbook procedures were followed during its development. If due process is confirmed and there are no outstanding issues, X12N/TG4 votes to release the Errata to WPC for publication.

2.3.12 X12N/TG4 Notifies X12N and Publisher of Errata

- X12N/TG4 announces approval of the Errata to X12N and WPC.

2.3.13 Publication

- WPC marks the Errata as “published” Errata of the X12N Subcommittee and makes it available as a stand-alone document and as a companion download with the base Implementation Guide.

2.4 Emergency Implementation Guide Changes

2.4.1 Applicability

- This process shall apply only to emergency changes as defined in section 2.1.

2.4.2 Invocation of emergency process

- The chair of X12N, or the vice chair in his/her absence, may invoke this process if he/she determines that an emergency change is necessary and action should be initiated before the next scheduled X12N meeting.

2.4.3 Confirmation process

- After the invocation of the emergency process:
 - Within 5 business days a web-based discussion group will be established.
 - Notification of the web-based discussion group will be sent out via the X12N List Serve.
 - The discussion group will remain open for 15 days. During this time any organization or individual may comment.
 - At the end of the 15-day comment period, the X12N management team as defined in the X12N constitution, the Implementation Guide delegate or alternate Implementation Guide delegate, and the co-chair(s) of the owning workgroup will have five days to confirm the emergency via web-based vote by simple majority.

The voters must include the chair of X12N, or the vice chair in his/her absence, a Task Group co-chair of the owning Task Group, and the Implementation Guide delegate or alternate Implementation Guide delegate. These representatives will be required to vote on all web-based votes.

- Immediately after the web-based vote the results will be available.

2.4.4 Emergency Change Process

- The normal X12N Implementation Guide process shall apply, except:
 - The public review period may be eliminated
 - The informational forum to respond to public comment may be eliminated
 - The co-chair(s) of the owning work group may approve the changes on behalf of the work group.

- The co-chair(s) of the owning task group may approve the changes on behalf of the task group.
- The X12N management team as defined in the X12N constitution and the Implementation Guide delegate or alternate Implementation Guide delegate may approve the changes on behalf of the Subcommittee.

2.4.5 Notification

- Notification of the emergency change situation shall be posted to the X12N List Serve within 5 business days. Notification shall also be made at the next meeting of X12N and included in the meeting minutes.

2.4.6 Due Process

- Any necessary changes to the underlying transaction standard(s) shall be processed concurrently following normal X12N procedures.

3 Conventions

3.1 Author Conventions

3.1.1 Required conventions

- When referring to an X12 transaction set for the first time in a major section of the document, use the following form:
ANSI ASC X12 <Transaction Set Name> (<Transaction Set ID>) transaction set
Example: ANSI ASC X12 Health Care Claim (837) transaction set
- In all other instances, refer to the transaction set using the following form:
<Transaction Set ID>
Example: 837
- When referring to an acronym for the first time in a major section of the document, use the complete set of words followed by the acronym in parenthesis:
Example: International Association for Industrial Accident Boards and Commissions (IAIABC)
- In all other instances, use the acronym:
Example: IAIABC
- Use present tense
- Use third person voice
- Use the serial comma
Example: The dog, cat, and mouse enjoyed reading about the 837.
- Whenever possible, make people the subject of the sentences
- Keep the subject and verb as close together as possible in the sentence
- Use these date forms:
July 22, 1996
July 1996
The 22nd of July 1996

- Use this time form:
10:30 A.M.

3.1.2 Discouraged conventions

- Long Sentences
Bad Example This is (this what?)
Preferred The implementation guide is
- Passive voice
Bad Example The patient was examined by the doctor.
Preferred The doctor examined the patient.

3.1.3 Word use

- Health care is two words
- Implementation Guide should not be abbreviated as IG
- Implementation Guide should not be called a guideline
- Use the spelling “payer” not “payor”
- Employ the word “use” not “utilize”

3.1.4 Rules for constructing Notes:

- The first note for each situational loop, segment, or data element must clearly and unambiguously describe the situation for its use. Explicitly describe the situation(s) in which the loop, segment, or data element is required. If appropriate, explicitly describe the situation(s) in which the loop, segment, or data element is not used. Do not change or repeat X12 semantic or syntax notes.
- Do not preface the situation description with “use when”, “should be used”, or “may be used”. Use “required” or “not used” to avoid interpretation inconsistency.
Bad Example This data element should be sent when the information in this loop is different from the information sent at the claim level.
Preferred This data element is required when the information in this loop is different from the information sent at the claim level.
This data element is not used when the information in this loop is the same as the information sent at the claim level.
- If there are multiple conditions, ensure that there are not conflicts between the conditions and that any relationships are clearly stated.
Bad Example Required if the condition is different.
Required if the condition was previously treated.
Preferred Required if the condition is different and the condition was previously treated.
<If the segment is used only if the condition is different AND

was previously treated>

Required if the condition is different or the condition was previously treated.

<If the segment is used if the condition is different OR was previously treated>

3.1.5 Rules for constructing Examples

- Use codes or values that meet the implementation guide criteria in all segment/element examples

3.2 Implementation Guide Conventions

All Implementation Guides use the following table of contents as a starting point:

1 Purpose and Business Overview	0
1.1 Document Purpose	0
1.2 Version and Release.....	0
1.3 Business Usage and Definition	0
1.4 Information Flows.....	0
2 Data Overview	0
2.1 Overall Data Architecture.....	0
2.2 Data Usage by Business Usage	0
2.3 Data/Transaction Set Model with Usage Matrix.....	0
3 Transaction Set	0
3.1 Format	0
Transaction Set Listing.....	0
4 EDI Transmission Examples for Different Business Usages	0
4.1 Business Scenario One Description	0
...	
A X12 Nomenclature	0
A.1 Interchange and Application Control Structures	0
...	
B EDI Control Directory.....	0
B.1 Control Segments.....	0
B.2 Functional Acknowledgment Transaction Set, 997	0
C External Code Sources	0
...	
D Change Summary.....	0

Figure 2. Sample Table of Contents

Appendix A is identical for all guides within an X12 version. Appendix B is essentially identical for all guides within a specific X12 version: GS01, GS08, and AK101 in Appendix B are unique for that guide. X12N/TG8, Architecture, is responsible for Appendices A & B.

The following figures are from several approved X12N Implementation Guides. These samples do not illustrate the only way an X12N Implementation Guide is written but are intended to give Implementation Guide authors an idea about what information appears in what section.

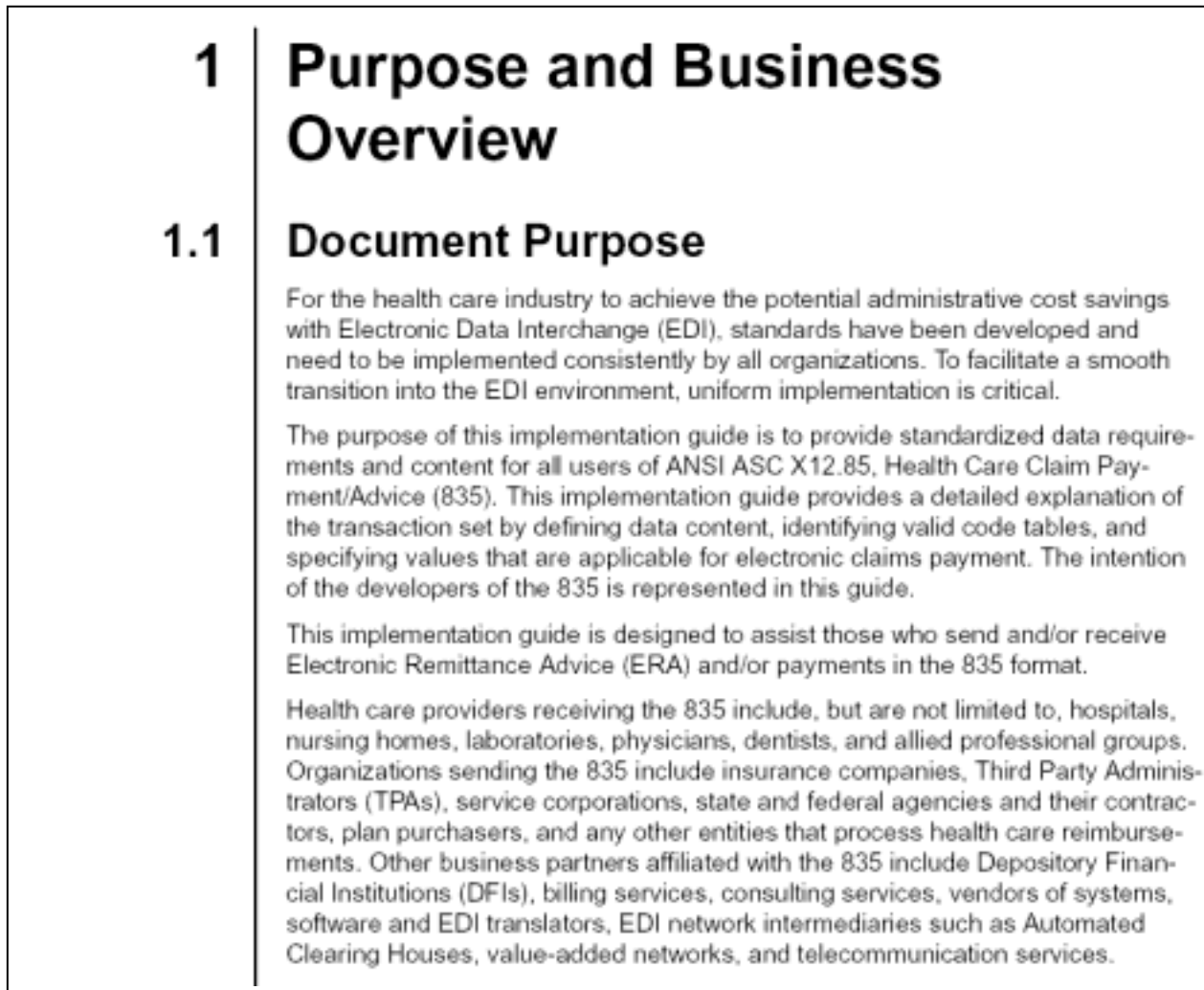


Figure 3. Sample Section 1 and 1.1

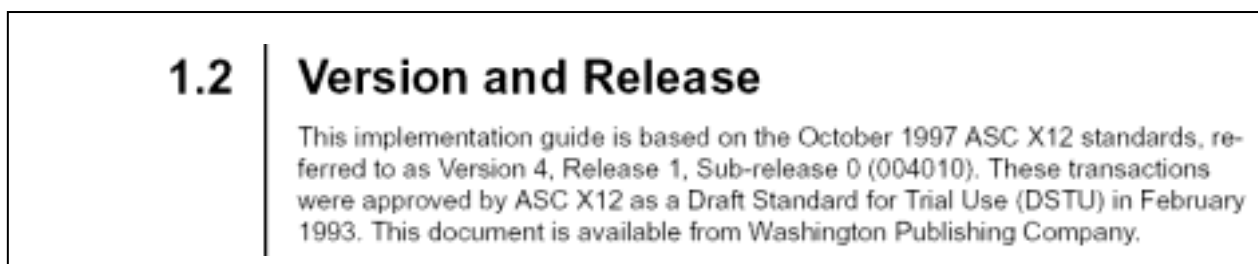


Figure 4. Sample Section 1.2

1.3 Business Use and Definition

1.3.1 Background Information

Providers of medical services must currently submit health care eligibility and benefit inquiries in a variety of methods, either on paper, via phone, or electronically. The information requirements vary depending upon:

- type of insurance plan
- type of service performed
- where the service is performed
- where the inquiry is initiated
- where the inquiry is sent

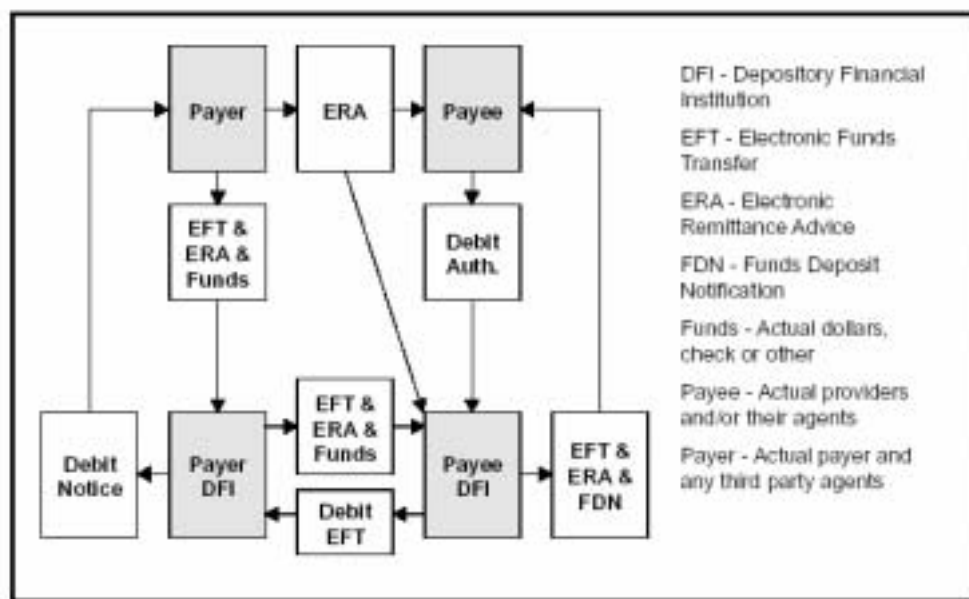
The Health Care Coverage, Eligibility, and Benefit transactions are designed so that inquiry submitters (information receivers) can determine (a) whether an information source organization (e.g., payer, employer, HMO) has a particular subscriber or dependent on file, and (b) the health care eligibility and/or benefit information about that subscriber and/or dependent(s). The data available through these transaction sets is used to verify an individual's eligibility and benefits, but cannot provide a history of benefit use. The information source organization may provide information about other organizations that may have third party liability for coordination of benefits.

Figure 5. Sample Section 1.3 (Above)

Figure 6. Sample Section 1.4 (Below)

1.4 Information Flows

Figure 1, Information Flow, illustrates the flow of information from payer to payee directly or through their Depository Financial Institutions.



2 Data Overview

2.1 Overall Data Architecture

NOTE

See Appendix A, ASC X12 Nomenclature, to review the transaction set structure, including descriptions of segments, data elements, levels, and loops.

2.1.1 Payment

NOTE

In all instances, "payee" refers to the actual providers and/or their agents. Likewise, "payer" refers not only to the actual payer but to any third party agent as well.

The 835 contains information about the payee, the payer, the amount, and any identifying information of the payment. In addition, the 835 can authorize a payee to have a DFI take funds **from** the payer's account and **transfer** those funds to the payee's account.

The 835 can authorize a DFI to move funds. In this mode, the 835 is sent to the payer's DFI. The 835 includes information about the payer's account; the payee's DFI, account, and timing; and the method and amount of the funds transfer. This process is known as an "Electronic Funds Transfer" (EFT). The result of an EFT is that funds are deposited directly into the payee's account. The remittance information may or may not have been transmitted to and through the banking network.

One 835 transaction set reflects a single payment device. In other words, one 835 corresponds to one check or one EFT payment. Multiple claims can be referenced within one 835.

Figure 7. Sample Section 2 and 2.1 (Above)

Figure 8. Sample Section 2.2 (Below)

2.2 Data Use by Business Use

The 270/271 transactions are divided into two levels, or tables. See Section 3, Transaction Set, for a description of the transaction sets.

The Header Level, Table 1, contains transaction structure information.

The Detail Level, Table 2, contains specific information about the insurer, requester of information, insured, and dependents. This implementation uses four different ways to use the segments in table 2. Each HL is assigned a number identifying its purpose.

- Loop 2000A (information source) contains information typically about the insurer/payer.
- Loop 2000B (information receiver) contains information typically about the medical service provider. (e.g., physician, hospital, laboratory, etc.).
- Loop 2000C (insured) contains information about the insured member (who may or may not be the patient).

2.3 Data/Transaction Set Model With Usage Matrix

Segment	Loop	Segment Name	Business Definition	Use	Repeat	Loop repeat
TABLE 1 - HEADER						
ISA		Interchange Header		R		
GS		Group Header		R		
ST		Transaction Set Header		R	1	
BGN		Beginning Segment	Transaction purpose, claim number, transaction date, transaction time	R	1	
NM1	1100	Insurer Name	Insurer	R	1	1
N2	1100	Insurer Additional Name Information	Additional Insurer name	S	1	
N3	1100	Insurer Address Information	Street address of insurer	S	1	
N4	1100	Insurer Geographic Location	City, state and zip code for insurer	S	1	
PER	1100	Insurer Contact	Contact information for insurer	S	3	
NM1	1100	Sender/Submitter Name	Sender/Submitter of transaction set	S	1	1
N2	1100	Sender/Submitter Additional Name	Additional sender/submitter name	S	1	
N3	1100	Sender/Submitter Address	Street address of sender/submitter	S	1	
N4	1100	Sender/Submitter Geographic Location	City, state and zip code for sender/submitter	S	1	
PER	1100	Sender/Submitter Contact	Contact information for sender/submitter	S	3	
NM1	1100	Receiver Name	Receiver who is handling the assignment	R	1	1
N2	1100	Receiver Additional Name	Additional receiver name	S	1	
N3	1100	Receiver Address	Street address of receiver	S	1	
N4	1100	Receiver Geographic Location	City, state and zip code for receiver	S	1	
PER	1100	Receiver Contact	Contact information for receiver	S	3	

Figure 9. Sample Section 2.3

Table 1 - Header						
PAGE #	POS. #	SEG. ID	NAME	USAGE	REPEAT	LOOP REPEAT
43	010	ST	Transaction Set Header	R	1	
44	020	BPR	Financial Information	R	1	
52	040	TRN	Reassociation Trace Number	R	1	
54	050	CUR	Foreign Currency Information	S	1	
57	060	REF	Receiver Identification	S	1	
58	060	REF	Version Identification	S	1	
60	070	DTM	Production Date	S	1	
LOOP ID - 1000A PAYER IDENTIFICATION						1
62	080	N1	Payer Identification	R	1	
64	100	N3	Payer Address	R	1	
65	110	N4	Payer City, State, ZIP Code	R	1	
67	120	REF	Additional Payer Identification	S	4	
69	130	PER	Payer Contact Information	S	1	
LOOP ID - 1000B PAYEE IDENTIFICATION						1
72	080	N1	Payee Identification	R	1	
74	100	N3	Payee Address	S	1	
75	110	N4	Payee City, State, ZIP Code	S	1	
77	120	REF	Payee Additional Identification	S	>1	

Figure 10. Sample Section 3, Transaction Set Listing

IMPLEMENTATION				
REASSOCIATION TRACE NUMBER				
Usage: REQUIRED				
Repeat: 1				
Notes: 1. This segment's purpose is to uniquely identify this transaction set and to aid in reassociating payments and remittances that have been separated.				
Example: TRN*1*12345*1512345678*199999999~				
STANDARD				
TRN Trace				
Level: Header				
Position: 040				
Loop: _____				
Requirement: Optional				
Max Use: 1				
Purpose: To uniquely identify a transaction to an application				
Set Notes: 1. The TRN segment is used to uniquely identify a claim payment and advice.				
DIAGRAM				
ELEMENT SUMMARY				
USAGE	REF. ID	DATA ELEMENT	NAME	ATTRIBUTES
REQUIRED	TRN01	481	Trace Type Code Code identifying which transaction is being referenced	M ID 1/2
			CODE DEFINITION	
			1	Current Transaction Trace Numbers

Figure 11. Sample Section 3, Segment Listing

Figure 12. Sample Section 4

	<h2 style="margin: 0;">Example A — Request</h2> <p>Request by a physician for the patient's eligibility for an office visit (subscriber)</p> <p>This is an example of an eligibility request from an individual provider to a payer. The physician is inquiring if the patient (the subscriber) has visit coverage. The request is from Marcus Jones to the ABC Company.</p> <div style="display: flex; justify-content: space-between; margin-top: 20px;"> <div> <p>ST*270*1234~</p> </div> <div> <p>Transaction Set ID Code = 270 (Health Care Eligibility Inquiry) Transaction Set Control Number = 1234</p> </div> </div>
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3.3 Description of Appendix D, Change Summary

There are three types of Change Summary:

1. **For the first version of the guide**
2. **Minor change (does not impact implementation) to the guide**
3. **Significant change to the guide**

Examples of each type of Change Summary:

1. For the first version of the guide:

This Implementation Guide defines X12N implementation 003051X021 of the Health Care Claim Payment/Advice. It is based on version/release/subrelease 003051 of the ASC X12 standards.

This is the first X12N implementation of the Health Care Claim Payment/Advice. Beginning with the next implementation, this section will summarize changes from the immediately preceding implementation.

2. Minor change (does not impact implementation) to the guide:

This Implementation Guide defines X12N implementation 003051X034 of the Health Care Claim Payment/Advice. It is based on version/release/subrelease 003051 of the ASC X12 standards.

The previous X12N implementation of the Health Care Claim Payment/Advice was 003051X021. It was also based on version/release/subrelease 003051 of the ASC X12 standards.

Implementation 003051X034 contains clarifications only. Therefore, this implementation can be used with trading partners using either implementation 003051X021 or 003051X034.

Below is a high-level description of the changes in implementation of 003051X034.

Change Description

1. Present each change in 1-2 descriptive sentences.
2. Follow the order of the Implementation Guide.
3. Use a numbered bullet for each change.
4. Identify new or changed text; new or changed examples; new or changed illustrations; etc.

3. Significant Change to Guide

This Implementation Guide defines X12N implementation 003070X052 of the Health Care Claim Payment/Advice. It is based on version/release/subrelease 003070 of the ASC X12 standards. The previous X12N implementation of the Health Care Claim Payment/Advice was 003051X034. It was based on version/release/subrelease 003051 of the ASC X12 standards.

Implementation of 003070X052 contains significant changes and can only be used with other trading partners who have also implemented 003070X052. Below is a high-level description of the changes in implementation 003070X052.

Change Description

1. Present each change in 1-2 descriptive sentences.

2. Follow the order of the Implementation Guide.
3. Use a numbered bullet for each change.
4. Identify new or deleted loops, segments, or data elements; changed loop, segment or data element usage; new or changed codes; etc.

4 Appendices

4.1 Project Proposal Form

Project proposal information is maintained in a registry database on Washington Publishing Company's WWW server. Access is from the Implementation Guide page on <http://www.wpc-edl.com>. The Implementation Guide Project Proposal (PP) form contains pertinent information needed to register the Implementation Guide into the registry database.

The PP form is divided into three sections. The first section identifies the document, the second section identifies the delegate and alternate, and the third section describes the project. For new projects, the submitting IGDG completes all three sections. To change the version/release, guide name, or any delegate information, the submitting IGDG simply indicates the guide ID and any changed items.

The following example illustrates how to complete the third section of the PP:

Purpose/Scope

The Health Care Eligibility/Benefit Inquiry and Information Response Implementation Guide describes the use of the Eligibility, Coverage or Benefit Inquiry (270) Version/Release 3070 Transaction Set and the Eligibility, Coverage, or Benefit Information (271) Version/Release 3070 Transaction Set for the following business usages:

- Determine if an Information Source organization, such as an insurance company, has a particular subscriber or dependent on file
- Determine the details of health care eligibility and/or benefit information

Primary Trading Partners

Health care providers, such as hospitals and physicians. Health care payers, such as insurance companies, HMOs, PPOs, and state and federal agencies, such as Medicare, Medicaid, and CHAMPUS.

Exceptions/Limitations

Intended for use for health care eligibility/benefits. Does not provide a history of benefit usage. Is not intended for property & casualty or workers' compensation usage.

References

The Health Care Eligibility/Benefit Inquiry and Information Response Implementation Guide is the version 3070 release of the WEDI guide for these transaction set, version 3051.

Coordination

X12N Property & Casualty Task Group's Claim Work Group (TG1/WG2) and Workers' Compensation/Disability Work Group (TG1/WG3).

ASC X12N Implementation Guide Project Proposal Form

Hit F1 for help on any field.

Check one

☐ **Addenda** ☐ **New** ☐ **Change** ☐ **Errata**

[] If addenda is selected, you must enter an expected date for a replacement guide

Document Identification

Set ID [] Version/Release [] Registration Date [] TG/WG []
Guide ID [] Name []

Contact Identification

Project Delegate []
Company []
Phone [] Fax []
Email []

Project Alternate []
Company []
Phone [] Fax []
Email []

Sponsor []

Project Identification

Purpose/Scope []
Trading Partners []
Exceptions []
References []
Coordination []

4.2 Templates

4.2.1 Public Review Announcement Template

Announcing a Public Review Period for <Transaction Set Number, Guide Name (Guide Identifier)>

The ASC X12N <Guide Name> (<Transaction Set Number>) Implementation Guide (<Guide Identifier>) is now available for industry review. This guide has been developed by X12N <TG# WG#>, which is the <work group name> workgroup within the <task group name> task group of the Insurance Subcommittee of X12. X12 is an Accredited Standards Committee (ASC) under ANSI (American National Standards Institute).

The purpose of this guide is to:

- <Insert bullets with purpose description(s)>

<Insert guide development guidelines and/or assumptions here>

The guide is based on version <version#> of the ASC X12 family of standards.

The public review period will commence <Start date> and will close on <End date>.

The authors will review and discuss any and all comments following the public review period. Official work group responses will be sent to the individual commenter who submitted the comment and will be posted to the on-line conference. All work group responses will be posted at least 15 days prior to the corresponding Informational Forum. **This is the only public review period.** For a complete understanding of changes being made to the guide, reviewers should monitor the on-line conference during the public review period and review all author responses prior to the Informational Forum.

Watch for the announcement of the corresponding Informational Forum. The Information Forum is the final opportunity to comment on modifications based on the public review period comments.

The draft implementation guide is available for download at: <pick one>

<http://www.wpc-edi.com/property.asp>

<http://www.wpc-edi.com/healthcare.asp>

<http://www.wpc-edi.com/life.asp>

Comments on the draft instructions can be submitted via the on-line conference at: <pick one>

<http://www.wpc-edi.com/conferences/property.html>

<http://www.wpc-edi.com/conferences/healthcare.html>

<http://www.wpc-edi.com/conferences/life.html>

Public Review Announcement Example

Announcing a Public Review Period for 274 Provider Information Implementation Guide (004050X103)

The ASC X12N Health Care Provider Information (274) Implementation Guide (004050X103) is now available for industry review. This guide has been developed by X12N TG2 WG15, which is the Provider Information work group within the Health Care task group of the Insurance Subcommittee of X12. X12 is an Accredited Standards Committee (ASC) under ANSI (American National Standards Institute).

The purpose of this guide is to:

- Send an application for membership to a health care entity
- Send registration information to a health care entity
- Send a health care entity's limited response to the health care provider

The guide was developed using existing applications supplied by industry representatives and the proposed data elements from the National Provider System. Sample applications were received from Medicaid agencies, commercial insurance companies, the Medicare agency, and vendor software developers.

The guide is based on version 004050 of the ASC X12 family of standards.

The public review period will commence December 10, 2001 and will close on February 10, 2001.

The authors will review and discuss any and all comments following the public review period. Official work group responses will be sent to the individual commenter who submitted the comment and will be posted to the on-line conference. All work group responses will be posted at least 15 days prior to the corresponding Informational Forum. **This is the only public review period.** For a complete understanding of changes being made to the guide, reviewers should monitor the on-line conference during the public review period and review all author responses prior to the Informational Forum.

Watch for the announcement of the corresponding Informational Forum. The Information Forum is the final opportunity to comment on modifications based on the public review period comments.

The draft implementation guide is available for download at:

<http://www.wpc-edi.com/HealthCare.asp>

Comments on the draft instructions can be submitted via the on-line conference at:

<http://www.wpc-edi.com/conferences/healthcare.html>

4.2.2 Informational Forum Announcement Template

Announcing an Informational Forum for the <Transaction Set Number, Guide Name (Guide Identifier)>

An informational forum for the ASC X12N <Guide Name (Transaction Set Number) Implementation Guide (Guide Identifier)> will be held on <date> at <time> at the X12 Trimester meeting in <city, state>.

This guide has been developed by X12N <TG# WG#>, which is the <work group name> work group within the <task group name> task group of the Insurance Subcommittee of X12. X12 is an Accredited Standards Committee (ASC) under ANSI (American National Standards Institute).

At the informational forum the project delegate will review comments received during the public review period and the work group's responses to them. This is the final opportunity to discuss the modifications made in response to the public review comments before the guide is published.

Discussion at the forum should be focused on the comments made during the Public Review Period, not new requests for changes. If significant changes are requested at the informational forum and the work group decides they should be included in the guide, the work group will rework the guide and the review process will be repeated.

Public review comments and associated work group responses can be found on the appropriate on-line conference, see below. Please review these responses before attending the forum. On-line conference web site: <pick one>

<http://www.wpc-edi.com/conferences/property.html>

<http://www.wpc-edi.com/conferences/healthcare.html>

<http://www.wpc-edi.com/conferences/life.html>

The implementation guide is available for download at: <pick one>

<http://www.wpc-edi.com/property.asp>

<http://www.wpc-edi.com/healthCare.asp>

<http://www.wpc-edi.com/life.asp>

Informational Forum Announcement Example

Announcing an Informational Forum for 272 Vehicle Damage Loss Assignment (004040X123)

An informational forum for the ASC X12N Vehicle Damage Loss Assignment (272) implementation guide (004040X123) will be held on October 1, 2001 at 2:00 p.m. at the X12 Trimester meeting in Miami, FL.

This guide has been developed by X12N TG1 WG2, which is the Claims work group within the Property & Casualty task group of the Insurance Subcommittee of X12. X12 is an Accredited Standards Committee (ASC) under ANSI (American National Standards Institute).

At the informational forum the project delegate will review comments received during the public review period and the work group's responses to them. This is the final opportunity to discuss the modifications made in response to the public review comments before the guide is published.

Discussion at the forum should be focused on the comments made during the Public Review Period, not new requests for changes. If significant changes are requested at the informational forum and the work group decides they should be included in the guide, the work group will rework the guide and the review process will be repeated.

Public review comments and associated work group responses can be found on the appropriate on-line conference, see below. Please review these responses before attending the forum. On-line conference web site:

<http://www.wpc-edi.com/conferences/property.html>

The implementation guide is available for download at:

<http://www.wpc-edi.com/property.asp>

4.3 Reviewers Criteria

To ensure consistent, effective reviews of X12N Implementation Guides by multiple reviewers, X12N/TG4 recommends the following guidelines for X12N/TG4, X12N/TG8, X12N/TG3, and WPC reviews.

4.3.1 All groups

- Do not attempt to rewrite the Implementation Guide in the style of writing you prefer
- Restrict editing comments to grammatical errors and items that violate the standards set in the conventions section of this handbook
- Restrict writing and style comments to:
 - Items that are not clear and understandable, if the reviewer is not certain what the instructions are saying, then readers may not be certain and interpretation inconsistency is likely
 - Items that contain jargon or other terms that may not be familiar to all readers
 - Sentences that are so long they become confusing
 - Sentences that are so short they are choppy and distracting

4.3.2 X12N/TG3

- Verify data elements are used in compliance with the TG3 Data Model in effect at the time of the review
- While X12N/TG3 is not responsible for any content editing, as a courtesy they will notify the project delegate of any errors noticed during the review

4.3.3 X12N/TG4

- Use the requirements documented in the Conventions Section of this handbook to:
 - Verify the Table of Contents entries
 - Verify the content of all Sections
 - Verify all Situational Loops, Segments, and Data Elements
 - Verify all Notes in Section 3
- Notify the project delegate of all errors noted during the review
- Notify the project delegate of all comments regarding style or content that may not be classified as errors

4.3.4 X12N/TG8

- Concentrate on Section 3 of the Implementation Guide
- Ensure that X12 design rules are not violated
- Review Sections 1 and 2 as necessary to ensure that Section 3 is accurate
- If a TR1 exists, verify the guide is consistent with the TR1.

- Use the X12 Design Rules and the requirements documented in the Conventions Section of this handbook to:
 - Verify the syntax of all Loops, Segments, and Data Elements
 - Verify all Notes in Section 3
- Notify the project delegate of all errors noted during the review
- Notify the project delegate of all comments regarding style or content that may not be classified as errors

4.3.5 WPC:

- Verify all common sections inserted into every guide remain consistent with the model
- Use the requirements documented in the Conventions Section of this handbook to:
 - Verify the contents of the Implementation Guide
 - Verify the structure of each section of the Implementation Guide
- Edit the Implementation Guide. Editing typically refers to misspellings, incomplete sentences, punctuation, run-on sentences, dangling phrases, verb tense, etc.

4.4 Glossary

Addenda – Supplements to published Implementation Guides containing significant changes that *modify the transmitted transaction set defined by the Implementation Guide*. Both the sender and receiver must implement the addenda to conduct a successful interchange. The addenda is a temporary solution to be implemented while a subsequent version of the Implementation Guide is being developed

ASC X12 – An ANSI-accredited group that defines EDI standards for many American industries, including insurance.

Errata – Supplements to published Implementation Guides containing minor changes that clarify or correct the Implementation Guide, but *do not change the transmitted transaction set defined by the Implementation Guide*. The sender and receiver do not both have to use the errata to conduct a successful interchange.

Implementation Guide Development Group (IGDG) - These individuals author the Implementation Guide. The IGDG is responsible for the business and technical accuracy of the Implementation Guide. The IGDG can be comprised of both X12N members and non-X12N members.

Implementation Guide Project Form (IGPP) - The proposal for creating or modifying an X12N Implementation Guide. This form is also used to propose an addenda or an errata.

Implementation Guide Registry Number – The number used to uniquely register and identify an Implementation guide, addenda, or errata. The registry number format is:
Implementation Guide to be nnn, where nnn=Implementation Guide# (e.g. 004010X095)
addenda to be nnnAv, where nnn=Implementation Guide #, v=version beginning with 1 (e.g. 004010X095A1)
errata to be nnnEv, where nnn=Implementation Guide #, v=version beginning with 1 (e.g. 004010X095E1)

Industry Groups – Other recognized groups that participate in the development of or use the resulting implementation guides.

Informational Forum – An open meeting following the public review and comment period for an implementation guide. Its purpose is to present the developers' response to public comments and allow a final opportunity for input on the decisions.

Minor Change – a change that clarifies or corrects an Implementation Guide, but *does not change the transmitted transaction set defined by the Implementation Guide*. For instance, correcting an example is a minor change.

Online Conference – A web-based capability that allows review of a proposed Implementation Guide by the public. It also allows posting of public comments and IGDG responses.

Project Delegate – person who shepherd's the IGDG through the process, responsible for ensuring that all steps are completed.

Significant Change – a change to an implementation guide that *modifies the transmitted transaction set defined by the Implementation Guide*. Both the sender and receiver must implement the change to conduct a successful interchange.

X12N – A subcommittee of ASC/X12 that defines EDI standards for the Insurance industry.

X12N/TG3 – The Business and Information Modeling Task Group of the Insurance Subcommittee (X12N). TG3 maintains the X12N business and data models and the data dictionary.

X12N/TG4 – The Implementation Guides Task Group of the Insurance Subcommittee (X12N). This group defines and supports the due process for developing and maintaining X12N Implementation Guides.

X12N/TG8 – The Architecture Task Group of the Insurance Subcommittee (X12N).

X12N Implementation Guide –Instructions for using an X12 standard transaction for a specific stated business purpose within the Insurance industry. These instructions will promote consistent and uniform implementations between trading partners.